## FORM 4

### UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(b) of the Investment Company Act of 1940

			or Section So(n) of the investment Company Act of 1940							
1. Name and Addre Gates Greg	ess of Reporting Pe	erson*	2. Issuer Name <b>and</b> Ticker or Trading Symbol <u>LPL Financial Holdings Inc.</u> [ LPLA ]		ationship of Reporting Per < all applicable) Director	10% Owner				
(Last) (First) (Middle) C/O LPL FINANCIAL		(Middle)	3. Date of Earliest Transaction (Month/Day/Year) 06/05/2023	X	Officer (give title below) Managing Dir	Other (specify below) ector				
4707 EXECUTIVE DRIVE			4. If Amendment, Date of Original Filed (Month/Day/Year)	6. Individual or Joint/Group Filing (Check Applic Line)						
				X	X Form filed by One Reporting Person					
(Street) SAN DIEGO	CA	92121			Form filed by More tha Person	n One Reporting				
(City)	(State)	(Zip)	Rule 10b5-1(c) Transaction Indication							
			Check this box to indicate that a transaction was made pursuant to a contract, instruction or written plan that is intended to satisfy the affirmative defense conditions of Rule 10b5-1(c). See Instruction 10.							

#### Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transac Code (Ir 8)		4. Securities Disposed Of 5)			5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		
Common Stock	06/05/2023		F		688	D	\$199.99	23,849 <sup>(1)</sup>	D	

# Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transac Code (li 8)		Number Exp		Expiration D	6. Date Exercisable and Expiration Date (Month/Day/Year)		le and unt of rities rlying ative rity . 3 and 4)	8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				

### Explanation of Responses:

1. Consists of (i) 19,959 shares of Common Stock; (ii) 990 restricted stock units that vest in full on February 25, 2024; (iii) 1,372 restricted stock units that vest ratably on each of February 25, 2024 and February 25, 2025; and (iv) 1,528 restricted stock units that vest ratably on each of February 25, 2024, February 25, 2025 and February 25, 2026.

#### **Remarks:**

The signatory is signing on behalf of Greg Gates pursuant to a Power of Attorney dated August 2, 2021.

/s/ Gregory M. Woods,

attorney-in-fact

<u>06/07/20</u>23

\*\* Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

\* If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

OMB APPROVAL

OMB Number: 3235-0287 Estimated average burden hours per response: 0.5